



**IAP12 Rec'd PCT/PTO 29 OCT 2007**

S&H Form: (2/01)  
DOCKET NO. 1454.1638

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:

Franz AUERBACH et al.

Serial No: 10/551,207

Group Art Unit: 2831

Confirmation No. 4292

Filed: August 17, 2006

Examiner: Unassigned

For: ARRANGEMENT COMPOSED OF AN ELECTRICAL COMPONENT ON A SUBSTRATE AND A  
METHOD FOR THE PRODUCTION OF SAID ARRANGEMENT

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the fifth inventor's name, sixth inventor's name and the residence of the fourth, fifth and sixth inventor on the Official Filing Receipt be corrected. The correct fifth inventor's name is **Karl Weidner** and the correct sixth inventor's name is **Jörg Zapf**. If the umlaut cannot be printed, conventional transliteration may be used so that the second inventor's name appears as **Joerg Zapf**. The correct residence of the fourth, fifth and sixth inventor is **München**. In this case, if the umlaut cannot be printed, Munich, the English translation of München, may be substituted.

This information is evidenced by a copy of the Declaration, attached to the application as filed. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

It is requested that a corrected Official Filing Receipt be issued in this application.

Respectfully submitted,

STAAS & HALSEY LLP

Date: 10/24/07

By: Richard A. Gollhofer  
Richard A. Gollhofer  
Registration No. 31,106

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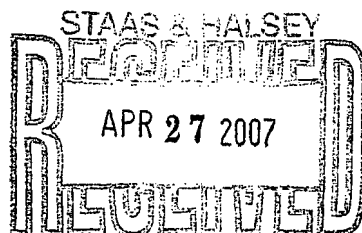


UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371(c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	TOT CLMS	IND CLMS
10/551,207	08/17/2006	2831	1130	1454.1638	22	2

21171  
 STAAS & HALSEY LLP  
 SUITE 700  
 1201 NEW YORK AVENUE, N.W.  
 WASHINGTON, DC 20005



CONFIRMATION NO. 4292

## FILING RECEIPT



\*OC000000023497311\*

Date Mailed: 04/25/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Franz Auerbach, Soest, GERMANY;  
 Bernd Gutschmann, Weyhe, GERMANY;

Thomas Licht, Warstein, GERMANY;

Norbert Seliger, [München] GERMANY;

Karl Weidner, [München] GERMANY;

Jörg Zapf, [München] GERMANY;

--München--  
 --Karl-- --München--  
 --Jörg-- --München--

**Power of Attorney:** The patent practitioners associated with Customer Number 21171.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/EP04/02424 03/09/2004

## Foreign Applications

GERMANY 10314172.3 03/28/2003

If Required, Foreign Filing License Granted: 04/21/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/551,207**

Projected Publication Date: 08/02/2007

Non-Publication Request: No

**Early Publication Request:** No

**Title**

Electrical component on a substrate and method for production thereof

**Preliminary Class**

361

## **PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### **LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15**

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The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The

date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



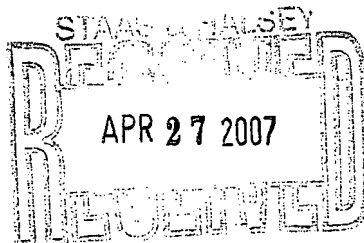
## UNITED STATES PATENT AND TRADEMARK OFFICE

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U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/551,207	Franz Auerbach	1454.1638

INTERNATIONAL APPLICATION NO.	
PCT/EP04/02424	
I.A. FILING DATE	PRIORITY DATE
03/09/2004	03/28/2003

21171  
 STAAS & HALSEY LLP  
 SUITE 700  
 1201 NEW YORK AVENUE, N.W.  
 WASHINGTON, DC 20005



CONFIRMATION NO. 4292

371 ACCEPTANCE LETTER



\*OC000000023497312\*

Date Mailed: 04/25/2007

**NOTICE OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C 371 AND 37 CFR 1.495**

The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as a Designated / Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is ACCEPTED for national patentability examination in the United States Patent and Trademark Office.

The United States Application Number assigned to the application is shown above and the relevant dates are:

<u>08/17/2006</u>	<u>08/17/2006</u>
DATE OF RECEIPT OF 35 U.S.C. 371(c)(1), (c)(2) and (c)(4) REQUIREMENTS	DATE OF COMPLETION OF ALL 35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE " FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371 (c)(1), (c)(2) and (c)(4) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

The following items have been received:

- Copy of the International Application filed on 09/28/2005
- English Translation of the IA filed on 09/28/2005
- Copy of the International Search Report filed on 09/28/2005
- Copy of IPE Report filed on 09/28/2005
- Preliminary Amendments filed on 09/28/2005
- Information Disclosure Statements filed on 09/28/2005
- Oath or Declaration filed on 08/17/2006
- Request for Immediate Examination filed on 09/28/2005
- Copy of references cited in ISR filed on 09/28/2005
- U.S. Basic National Fees filed on 09/28/2005
- Assignment filed on 08/17/2006

- Priority Documents filed on 09/28/2005
  - Specification filed on 09/28/2005
  - Claims filed on 09/28/2005
  - Abstracts filed on 09/28/2005
  - Drawings filed on 09/28/2005
- 

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

---

DIANE L SMITH

Telephone: (703) 308-9290 EXT 121

PART 1 - ATTORNEY/APPLICANT COPY

FORM PCT/DO/EO/903 (371 Acceptance Notice)

**Declaration and Power of Attorney For Patent Application**  
**Erklärung Für Patentanmeldungen Mit Vollmacht**  
**German Language Declaration**

Als nachstehend benannter Erfinder erkläre ich hiermit an Eides Statt:

dass mein Wohnsitz, meine Postanschrift, und meine Staatsangehörigkeit den im Nachstehenden nach meinem Namen aufgeführten Angaben entsprechen, dass ich, nach bestem Wissen der ursprüngliche, erste und alleinige Erfinder (falls nachstehend nur ein Name angegeben ist) oder ein ursprünglicher, erster und Miterfinder (falls nachstehend mehrere Namen aufgeführt sind) des Gegenstandes bin, für den dieser Antrag gestellt wird und für den ein Patent für die Erfindung mit dem Titel beantragt wird:

Anordnung aus einem elektrischen Bauelement auf einem Substrat und Verfahren zum Herstellen der Anordnung

deren Beschreibung hier beigefügt ist, es sei denn (in diesem Falle Zutreffendes bitte ankreuzen), diese Erfindung

- ☐ wurde angemeldet am 09.03.2004 unter der US-Anmeldenummer oder unter der Internationalen Anmeldenummer im Rahmen des PCT-Vertrags PCT/EP2004/002424 und am \_\_\_\_\_ abgeändert (falls zutreffend).

Ich bestätige hiermit, dass ich den Inhalt der obigen Patentanmeldung einschliesslich der Ansprüche, die eventuell durch einen Zusatzantrag wie oben erwähnt abgeändert wurde, durchgesehen und verstanden habe.

Ich erkenne meine Pflicht zur Offenbarung jeglicher Informationen an, die zur Prüfung der Patentfähigkeit in Einklang mit Titel 37, Code of Federal Regulations, § 1.56 von Belang sind.

Ich beanspruche hiermit ausländische Prioritätsvorteile gemäß Title 35, United States Code, § US-Code, § 119 (a)-(d), bzw. § 365(b) aller unten aufgeführten Auslandsanmeldungen für Patente oder Erfinderurkunden, oder § 365(a) aller PCT Internationalen Anmeldungen, welche wenigstens ein Land ausser den Vereinigten Staaten von Amerika benennen, und habe nachstehend durch ankreuzen sämtliche Auslandsanmeldungen für Patente bzw. Erfinderurkunden oder PCT internationale Anmeldungen angegeben, deren Anmeldetag dem der Anmeldung, für welche Priorität beansprucht wird, vorangeht.

As a below named inventor, I hereby declare that

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Anordnung aus einem elektrischen Bauelement auf einem Substrat und Verfahren zum Herstellen der Anordnung

the specification of which is attached hereto unless the following box is checked:

- ☐ was filed on 09.03.2004 as United States Application Number or PCT International Application Number PCT/EP2004/002424 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority under Title 35, 119(a)-(d) or § 365(b) of any foreign application(s) for patent inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, a foreign application for patent or inventor's certificate, PCT International application having a filing date before that of the application on which priority is claimed.

PDNR: 2590 / V: 08-18.05 / B:  
1/1

# German Language Declaration

Prior foreign applications  
Priorität beansprucht

Priority Claimed

10314172.3  
(Number)  
(Nummer)

DE  
(Country)  
(Land)

28.03.2003  
(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

☒ Yes  
Ja ☐ No  
Nein

(Number)  
(Nummer)

(Country)  
(Land)

(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

☐ Yes  
Ja ☐ No  
Nein

(Number)  
(Nummer)

(Country)  
(Land)

(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

☐ Yes  
Ja ☐ No  
Nein

(Number)  
(Nummer)

(Country)  
(Land)

(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

☐ Yes  
Ja ☐ No  
Nein

Ich beanspruche hiermit die mir unter Title 35, US-Code, § 120 zustehenden Vorteile aller unten aufgeführten US-Patentanmeldungen bzw. § 365(c) aller PCT internationalen Anmeldungen, welche die Vereinigten Staaten von Amerika benennen, und erkenne, insofern der Gegenstand eines jeden früheren Anspruchs dieser Patentanmeldung nicht in einer US-Patentanmeldung, bzw. PCT internationalen Anmeldung in einer gemäß dem ersten Absatz von Title 35, US-Code, § 112 vorgeschriebenen Art und Weise offenbart wurde, meine Pflicht zur Offenbarung jeglicher Informationen an, die zur Prüfung der Patentfähigkeit in Einklang mit Title 37, Code of Federal Regulations, § 1.56 von Belang sind und die im Zeitraum zwischen dem Anmeldetag der früheren Patentanmeldung und dem nationalen oder im Rahmen des Vertrags über die Zusammenarbeit auf dem Gebiet des Patentwesens (PCT) gültigen internationalen Anmeldetags bekannt geworden sind.

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

PCT/EP2004/002424  
(Application Serial No.)  
(Anmeldeseriennummer)

09.03.2004  
(Filing Date D, M, Y)  
(Anmeldedatum T, M, J)

anhängig  
(Status)  
(patentiert, anhängig,  
aufgegeben)

pending  
(Status)  
(patented, pending,  
abandoned)

(Application Serial No.)  
(Anmeldeseriennummer)

(Filing Date D,M,Y)  
(Anmeldedatum T, M, J)

(Status)  
(patentiert, anhängig,  
aufgegeben)

(Status)  
(patented, pending,  
abandoned)

Ich erkläre hiermit, daß alle in der vorliegenden Erklärung von mir gemachten Angaben nach bestem Wissen und Gewissen der Wahrheit entsprechen, und ferner daß ich diese eidesstattliche Erklärung in Kenntnis dessen ablege, daß wissentlich und vorsätzlich falsche Angaben oder dergleichen gemäß § 1001, Title 18 des US-Code strafbar sind und mit Geldstrafe und/oder Gefängnis bestraft werden können und daß derartige wissentlich und vorsätzlich falsche Angaben die Rechtswirksamkeit der vorliegenden Patentanmeldung oder eines aufgrund deren erteilten Patentes gefährden können.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.



## German Language Declaration

**VERTRETUNGSVOLMACHT:** Als benannter Erfinder beauftrage ich hiermit den (die) nachstehend aufgeführten Patentanwalt (Patentanwälte) und/oder Vertreter mit der Verfolgung der vorliegenden Patentanmeldung sowie mit der Abwicklung aller damit verbundenen Angelegenheiten vor dem US-Patent- und Markenamt: (Name(n) und Registrationsnummer(n) auflisten)

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith: (list name and registration number)

Customer No. 21171

And I hereby appoint

Telefongespräche bitte richten an:  
(Name und Telefonnummer)

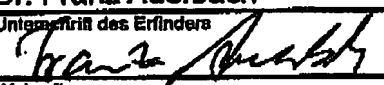
Direct Telephone Calls to: (name and telephone number)

Ext. \_\_\_\_\_

Postanschrift

Send Correspondence to:

Staas & Halsey LLP Intellectual Property Attorneys  
1201 New York Avenue, NW, Suite 700 20005 Washington UNITED STATES OF AMERICA  
Telephone: (001) 202 434 1500 and Facsimile (001) 202 434 1501  
or  
Customer No. 21171

Voller Name des einzigen oder ursprünglichen Erfinders:		Full name of sole or first inventor:	
Dr. Franz Auerbach		Dr. Franz Auerbach	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
	3.9.2005		
Wohnsitz		Residence	
Soest, GERMANY		Soest, GERMANY	
Staatsangehörigkeit		Citizenship	
DE		DE	
Postanschrift		Post Office Address	
Schmückersweg 6		Schmückersweg 6	
59494 Soest		59494 Soest	
GERMANY		GERMANY	
Voller Name des zweiten Miterfinders (falls zutreffend):		Full name of second joint inventor, if any:	
Bernd Gutschmann		Bernd Gutschmann	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz		Residence	
Weyhe, GERMANY		Weyhe, GERMANY	
Staatsangehörigkeit		Citizenship	
DE		DE	
Postanschrift		Post Office Address	
Fliederstr. 19		Fliederstr. 19	
28844 Weyhe		28844 Weyhe	
GERMANY		GERMANY	

(Bitte entsprechende Informationen und Unterschriften im Falle von dritten und weiteren Miterfindern angeben).

(Supply similar information and signature for third and subsequent joint inventors).

Voller Name des dritten Miterfinders: <b>Dr. Thomas Licht</b>		Full name of third joint inventor: <b>Dr. Thomas Licht</b>	
Unterschrift des Erfinders <i>Thomas Licht</i>	Datum <b>9.9.2005</b>	Inventor's signature <i>Thomas Licht</i>	Date <b>9.9.2005</b>
Wohnsitz <b>Warstein, GERMANY</b>		Residence <b>Warstein, GERMANY</b>	
Staatsangehörigkeit <b>DE</b>		Citizenship <b>DE</b>	
Postanschrift <b>Ostterrasse 5</b>		Post Office Address <b>Ostterrasse 5</b>	
<b>59581 Warstein GERMANY</b>		<b>59581 Warstein GERMANY</b>	
Voller Name des vierten Miterfinders: <b>Dr. Norbert Seliger</b>		Full name of fourth joint inventor: <b>Dr. Norbert Seliger</b>	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz <b>München, GERMANY</b>		Residence <b>München, GERMANY</b>	
Staatsangehörigkeit <b>AT</b>		Citizenship <b>AT</b>	
Postanschrift <b>Gnesener Str. 24</b>		Post Office Address <b>Gnesener Str. 24</b>	
<b>81929 München GERMANY</b>		<b>81929 München GERMANY</b>	
Voller Name des fünften Miterfinders: <b>Karl Weidner</b>		Full name of fifth joint inventor: <b>Karl Weidner</b>	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz <b>München, GERMANY</b>		Residence <b>München, GERMANY</b>	
Staatsangehörigkeit <b>DE</b>		Citizenship <b>DE</b>	
Postanschrift <b>Zauserweg 6</b>		Post Office Address <b>Zauserweg 6</b>	
<b>81245 München GERMANY</b>		<b>81245 München GERMANY</b>	
Voller Name des sechsten Miterfinders: <b>Jörg Zapf</b>		Full name of sixth joint inventor: <b>Jörg Zapf</b>	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz <b>München, GERMANY</b>		Residence <b>München, GERMANY</b>	
Staatsangehörigkeit <b>DE</b>		Citizenship <b>DE</b>	
Postanschrift <b>Dalandstr. 1</b>		Post Office Address <b>Dalandstr. 1</b>	
<b>81927 München GERMANY</b>		<b>81927 München GERMANY</b>	

(Bitte entsprechende Informationen und Unterschriften im Falle von dritten und weiteren Miterfindern angeben).

(Supply similar information and signature for third and subsequent joint inventors).